



DOCKET NO.: MS306435.01/MSFTP504US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **David M. Barger, et al.**  
Serial No.: **10/758,370**  
Filed: **January 15, 2004**  
For: **IMAGE-BASED DOCUMENT INDEXING AND RETRIEVAL**  
Art Unit: **2171**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

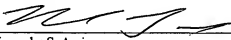
- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) ☐ Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /GC/

- (d) ☐ After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ☐ The required certification is given below, or
- (2) ☐ Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
- (i) ☐ Enclosed is a check covering the fee;
- (ii) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
- (iii) ☐ Enclosed is a credit card payment form covering the fee.
- (e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
- (1) ☐ Enclosed is a check covering the fee;
- (2) ☐ Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or
- (3) ☐ Enclosed is a credit card payment form covering the fee.
4. Certification (if applicable)
- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.
5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By

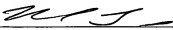
  
Himanshu S. Amin  
Reg. No. 40,894

Amin & Turocy, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

2-16-06  
Date

  
Himanshu S. Amin

ALL REFERENCES CONSIDERED <sup>2</sup>EXCEPT WHERE LINED THROUGH. /GC/



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 3

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

### Complete if Known

Application Number	10/758,370
Filing Date	January 15, 2004
First Named Inventor	David M. Bargerone
Art Unit	2171
Examiner Name	
Attorney Docket Number	MS306435.01/MSFTP504US

### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.†	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 5,465,353 A	11-07-1995	Hull, et al.	
		US- 5,867,597 A	02-02-1999	Peairs, et al.	
		US- 2002/116379 A1	08-22-2002	Lee Dai-Shyang, et al.	
		US- 2003/152293 A1	08-14-2003	Joel Bresler, et al.	
		US- 6,397,212 B1	05-28-2002	Peter Biffar	
		US- 2003/076537 A1	04-24-2003	Barry Allen Thomas Brown	
		US- 2002/032698 A1	03-14-2002	Ingemar J. Cox	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.†	Foreign Patent Document Country Code <sup>3</sup> Number <sup>3</sup> Kind Code <sup>4</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>

Examiner Signature	/Giovanna Colan/	Date Considered	04/10/2008
-----------------------	------------------	--------------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /GC/



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08b (08-03)

Approved for use through 06/30/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for Form PTO/SB/08b

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 of 3

### Complete if Known

Application Number	10/758,370
Filing Date	January 15, 2004
First Named Inventor	David M. Barger
Art Unit	2171
Examiner Name	
Attorney Docket Number	MS306435.01/MSFTP504US

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		European Search Report dated February 1, 2006 for European Patent Application No. EP05000750. 7 pages.	
		J.J. HULL. Document Image Matching and Retrieval with Multiple Distortion-Invariant Descriptors. Document Analysis Systems, World Scientific Publishing Co. 1995. Retrieved from the internet: <a href="http://rii.richoh.com/hull/pubs/hull_das94.pdf">http://rii.richoh.com/hull/pubs/hull_das94.pdf</a> . Retrieved on 12-06-2005.	
		J.J. HULL, et al. Document Image Matching Techniques. Symposium on Document Image Understanding Technology, April 30, 1997, pg. 31-35.	
		WANG SHIN-YWAN, et al. Block selection: a method for segmenting a page image of various editing styles. Document Analysis and Recognition, 1995. Proceedings of the Third International Conference on Montreal, Quebec, Canada. August 14-16, 1995. Los Alamitos, CA, USA. IEEE Comput. Soc., US, vol. 1, August 14, 1995, pages 128-133.	
		V. EGLIN, et al. Document page similarity based on layout visual saliency: application to query by example and document classification. Document Analysis and Recognition, 2003. Proceedings of the 7th International Conference. August 3-6, 2003. Piscataway, NJ, IEEE, 8/3/03, pgs. 1208-1212.	
		C.L. TAN, et al. Text extraction using pyramid. Pattern Recognition, Elsevier, Kidlington, GB, vol. 1, no. 1. January 1998, pages 63-72.	
		H. PENG, et al. Document image template matching based on component block list. Pattern Recognition Letters, North-Holland Publ. Amsterdam, NL, vol. 22, no. 9, July 2001, pgs. 1033-1042.	
		D. DOERMANN. The Indexing and Retrieval of Document Images: A Survey. Computer Vision and Image Understanding, Academic Press, San Diego, CA, US, vol. 70, no. 3, June 1998, pgs. 287-298.	
		D. DOERMANN, et al. The detection of duplicates in document image databases. Proceedings of the 4th International Conference on Document Analysis and Recognition. ULM, Germany, August 18-20, 1997, Proceedings of the ICDAR, Los Alamitos, IEEE Comp. Soc. US, vol. II, August 18, 1997, pgs. 314-318.	
		S. MITAIM, et al. Neural fuzzy agents that learn a user's preference map. Digital Libraries, 1997. ADL '97. Proceedings, IEEE International Forum on Research and Technology Advances in Washington, D.C., US, May 7-9, 1997, Los Alamitos, CA, US. IEEE Comput. Soc., US, May 7, 1997, pgs. 25-35.	

Examiner Signature	/Giovanna Colan/	Date Considered	04/10/2008
--------------------	------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /GC/



PTO/SB/08b (08-03)

Approved for use through 06/30/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
is a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

**SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet	3	of	1
-------	---	----	---

**Complete if Known**

<b>Application Number</b>	10/758,370
<b>Filing Date</b>	January 15, 2004
<b>First Named Inventor</b>	David M. Barger
<b>Art Unit</b>	2171
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	MS306435.01/MSFTP04US

### NON PATENT LITERATURE DOCUMENTS

[illegible]

Examiner Signature	/Giovanna Colan/	Date Considered	04/10/2008
--------------------	------------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Indicate copy of this form with next communication(s) as appropriate.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /GC/